

STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.27(a))-NONPROFIT ORGANIZATION

DOCKET NUMBER: 1322.1026-005

Applicant or Patentee: David L. Kaplan, Juliet Fuhrman and Richard A. Gross

Serial or Patent No.: 10/767,836

Filed or Issued: January 29, 2004

Title: EMULSAN ADJUVANT IMMUNIZATION FORMULATIONS AND USE

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION Trustees of Tufts College

ADDRESS OF NONPROFIT ORGANIZATION Medford, Massachusetts 02155

TYPE OF NONPROFIT ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF
LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.27(a)(3) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

I hereby state that the rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities. No rights to the invention are held by any person who would not qualify as a person under 37 CFR 1.27(a)(1) or by any concern which would not qualify as a small business concern under 37 CFR 1.27(a)(2) or a nonprofit organization under 37 CFR 1.27(a)(3).

Each additional person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
☒ each such person, concern, or organization is listed below.

University of Massachusetts Lowell
One University Avenue
Lowell, Massachusetts 01854

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.27(g)(2))

NAME OF PERSON SIGNING Margaret Newell

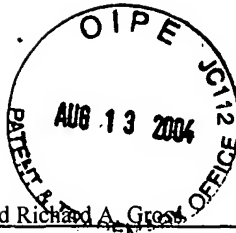
TITLE IN ORGANIZATION OF PERSON SIGNING Associate Provost for Research

ADDRESS OF PERSON SIGNING Tufts University ~~Medical Center~~, 136 Harrison Avenue, Boston, MA 02111

SIGNATURE Margaret Newell

DATE May 25, 2004

STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.27(a))-NONPROFIT ORGANIZATION



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Title: EMULSAN ADJUVANT IMMUNIZATION FORMULATIONS AND USE

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION University of Massachusetts Lowell
ADDRESS OF NONPROFIT ORGANIZATION One University Avenue
Lowell, Massachusetts 01854

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☒ the application identified above.
☐ the patent identified above.

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Trustees of Tufts College
Medford, Massachusetts 02155

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NAME OF PERSON SIGNING Louis J. Petrovic, Ph.D.

TITLE IN ORGANIZATION OF PERSON SIGNING Director of External Funding, Technology Transfer & Partnering

ADDRESS OF PERSON SIGNING University of Massachusetts Lowell, Research Foundation, 600 Suffolk St., 2nd Floor South, Lowell, MA 01854

SIGNATURE *Louis J. Petrovic* DATE 5/6/04